

# Lessons and Insights from the CCAFS Results-Based Management Trial

Summary from the CCAFS Flagship 4 RBM trial projects survey, 2014

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## Introduction

Along with several other CGIAR research programs, the CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS) has in 2014 been piloting a new way of doing business revolving around the use of results-based management (RBM). Six trial projects were selected via a competitive call in 2013 for regional activities under Flagship 4, *Policies and institutions for climate resilient food systems*. The RBM process itself involves a shift away from a logframe to an impact pathway (IP) approach based on theories of change, emphasising the contribution of research towards development outcomes. In the theory of change (TOC) pathways are defined from research and its outputs and results towards outcomes, i.e. changes in practices in next-users of research outputs such as policy makers, development organisations, and farmers.

The six projects that are part of the CCAFS FP4 RBM trial are summarised in Annex 1, and consist of the following:

- *Influencing and linking policies and institutions from national to local level for development and adoption of climate-resilient food systems* (East Africa region, led by the International Institute of Tropical Agriculture (IITA);
- *Capacitating science-policy exchange platforms to mainstream climate change into national agricultural and food security policy plans* (West Africa region, led by the International Crops Research Institute for the Semi-Arid-Tropics (ICRISAT);
- *Scaling up climate smart agriculture through policies and institutions: Linking it with national agenda of food security* (South Asia region, led by the International Food Policy Research Institute (IFPRI);
- *Addressing the impacts of climate change in the Philippine agriculture sector* (South-East Asia region, led by the International Food Policy Research Institute (IFPRI);
- *Policy Information and Response Platform on Climate Change and Rice in ASEAN and its member countries (PIRCCA)* (South-East Asia region, led by the International Rice Research Institute (IRRI);
- *Relevant climate change information meets decision-making to influence policy and institutions for climate resilient food systems* (Latin America region, led by the International Center for Tropical Agriculture (CIAT).

Adaptive management<sup>1</sup> with its reflective spaces is a key element of results-based management. Besides periodic virtual meetings and facilitated learning within projects, a survey was conducted 10 months into the trial, for a more in-depth and standardised reflection, and for capturing lessons and achievements from the projects (review full survey further down). Initially, the survey was conducted to inform a report on the trial process and progress to CGIAR, but the richness of the insights from the projects led the team to compile the results into this document. The report adds to the growing body of resources that share preliminary results and progress on the implementation of a results-based management system guided by impact pathways and a theory of change<sup>2</sup>. It presents the survey methodology and then the lessons, insights and results from the respondents with short summary overviews of the responses received.

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<sup>1</sup> **Adaptive management** is a structured, iterative process of robust decision making in the face of uncertainty, with an aim to reducing uncertainty over time via system monitoring. Adaptive management is a tool which should be used not only to change a system, but also to learn about the system. Because adaptive management is based on a learning process, it improves long-run management outcomes. The challenge in using the adaptive management approach lies in finding the correct balance between gaining knowledge to improve management in the future and achieving the best short-term outcome based on current knowledge.

<sup>2</sup> Learn more about Flagship 4 RBM trial: <http://hdl.handle.net/10568/52261>

## Methodology

The CCAFS Flagship 4 team prepared a questionnaire (see Annex 2) to collect feedback on the process and an update on progress from the project leaders, coordinators and selected partners of the six Flagship 4 RBM trial projects. To collect the responses we used the online tool “Survey monkey”. Before sending the survey out to project leaders, the team did some pre-testing to ensure the questions were formulated to generate meaningful responses and that the online tool would collect the responses in a way that ensured they could be analysed and processed. The Flagship 4 project leader sent out the online survey individually to the six project leaders and their project coordinators (three of the six projects have a project coordinator). In the e-mail, respondents were asked to **1. fill in the survey**, and **2. send it to two of their project team partners (researchers and/or management team members) and ask them to fill out the survey, too**. It took 5-10 minutes to fill out the survey, depending on how elaborate the responses to the open questions were. Respondents were given 26 days to complete the survey.

## Lessons learned from FP4 RBM survey

Below is a summary of the responses and results from the survey with some selected example responses. See Annex 3 for the full set of detailed responses.

### Who responded? (Sections 1-3)

Out of a total of 21 potential respondents, FP4 received 13 responses (~62%). The survey had a good distribution across the projects with two respondents from each project, one by the project leader or the project coordinator and one partner representative. In addition to the six trial projects, one response was from the FP4 trial program team.

### What do you feel you achieved over the past 10 months in your project?

#### (Question 4)

Respondents presented their progress and achievements over the past 10 months of the implementation of their projects. All of the projects are making solid progress towards meeting annual targets and achieving outcomes already in the first year:

- key stakeholder platforms and online alliance meeting points have been launched;
- kick-off workshops have been held;
- specialised project staff have been recruited;
- key stakeholders, networks and partners have been identified; engagements and partnerships are developing;
- project managers have a better understanding of the context the project is working within, especially related to the policy landscape and accompanying processes;
- impact pathways, M&E frameworks and outcomes have been outlined and refined;
- projects have identified relevant case studies and collected data and information, from for example policy makers, to start the project; and
- staff have been successfully raising awareness of the projects in relevant forums.
- One project already has a communications strategy in place.

How do you consider your own progress in terms of planning towards outcomes and then actually moving towards outcomes?

**(Question 5)**

All responses were on the positive side with three *Excellent*, five *Very Good* and *Good* respectively. This indicates that the respondents are pleased with their own efforts to plan and move towards project outcomes.

Considering the requirement for outcomes, what are you doing differently from what you would have done with a more output-focused project?

**(Question 6)**

**Staff recruitment:**

For some projects, the staff profiles and the capacities sought have changed; for example, projects have valued communication and networking skills, or an understanding of the new work process, i.e., moving towards outcomes, more than scientific experience, for instance.

- *"We have hired staff that look more at processes as opposed to specific research outputs"*
- *"We have hired several joint positions with partner organizations, which are crucial to achieve the outcomes"*
- *"Different profile with more communication skills"*
- *"I have hired one staff based on network and relationships rather than scientific capacity"*

**Types of partnerships:**

For a number of projects, traditional partners have been swapped for strategic, non-scientific partners such as government actors, including Ministries and policy makers and/or local community leaders, and focus on networking and building local relationships.

- *"We are collaborating with non-science partners that can help with influence policy decisions, advocacy, media publicity"*
- *"Working more with policy making and community leaders but with very high transaction costs due to fast turnover rates"*

**Communications and engagement:**

Engagement activities and direct communication with policy makers, and other target groups, are primary focus areas for some projects. In one case, the project has decentralized these activities to local partners for better targeting.

- *"We have had to be very careful with communications. Comms is not about blog posts, but about one-to-one highly political exchanges. This is not always nice work."*
- *"In-country partners are responsible for identifying engagement strategies for policy influence"*
- *"We put effort in developing communication tools that can speak to various partners, and strategies to engage various target groups"*

**Monitoring and evaluating plans and practices:**

With an M&E strategy in place (LINK), projects are now able to strategically monitor and evaluate ongoing projects. One project mentioned that this has enabled staff to run the project more effectively.

- *"Monitoring is more formal as part of M&E which used to be ad hoc including assessment of ongoing project activities"*
- *"The result-based management allows us to have a better grasp on activities and also to ensure"*

*deliverables reach next users. Having an M&E strategy, along with clearly defined activities, partners and next users allow project team members and partners to run the project more effectively”*

#### Activities and outputs:

For some projects, the activities and outputs are the same as they would have been under previous project planning approaches, but many projects indicate that for them, the activities and projects are indeed different. Under the RBM system, activities are more clearly defined, including outputs and time frames, and contribute to an outcome.

- *“We aim to have joint activities and outputs with our next or even end users to make sure they agree with methods and approaches and will likely agree with final results or research outputs.”*
- *“Under the result-based management system, activities are clearly defined as well as outputs and deliverables.*
- *“Ensure these contribute to outcome statement”*
- *“This approach costs much more time in terms of time-critical activities. “It has been a ride.”*

#### Other comments:

- *“We are adopting a flexible style for the policy engagement activity that is iterative and allows us to try “stuff” and evaluate and make adjustments in the implementation. We are not afraid to try something new!”*
- *“It is directly reaching to policy makers and starting from them and seeking their requirement and priorities”*
- *“Higher transaction costs”*
- *“Enjoying working in this project as expecting high impact”*

Since its initial planning, has anything changed in the course of the implementation of your project? If yes, how? And if no, why do you think that is?

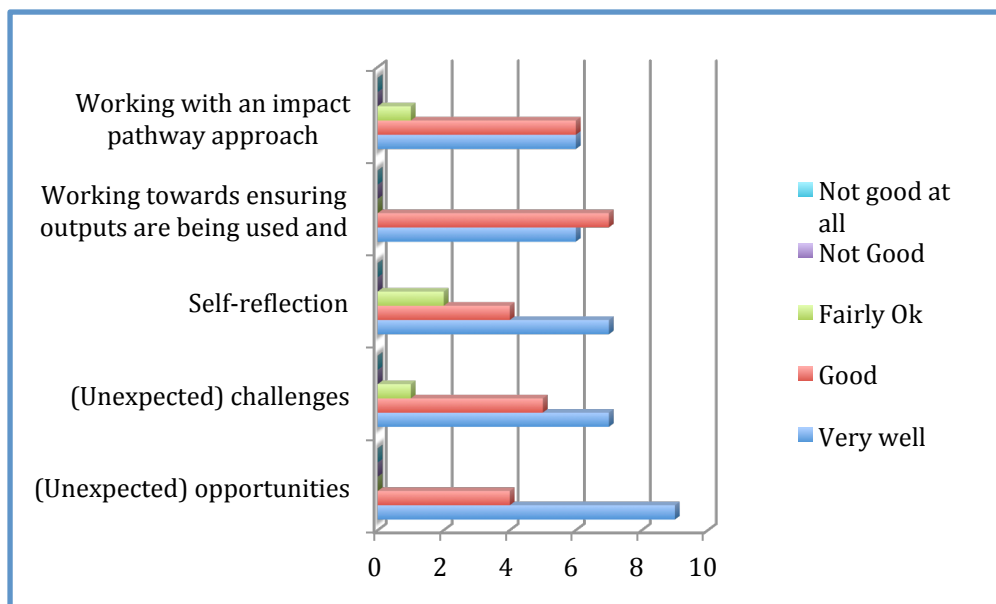
#### **(Questions 8 & 9)**

Half of the respondents mentioned they have experienced changes in the course of project implementation from the initial planning, however, nothing too radical. Projects mentioned a late activity start, refinement and changes to the impact pathway and the work plan, and shifting the field area (location), due to changes in the vice-ministry. One project made a change in how to feed resources into the planned learning alliance. The project is currently pooling already available evidence into the alliance, and planning activities around that, to later feed in the evidence that will be created by the project; enabling the platform to be available this year.

Please rate how well your project team is responding to the following:

#### **(Question 10)**

See the chart below for the categories on which projects rated themselves. All responses were on the positive side with most of them rated ‘good’ or ‘very well’ and an occasional ‘fairly ok’. None of the respondents selected ‘not good’ or ‘not good at all’. Therefore, projects seem to be flexible, dynamic and responding well to various challenges and RBM approaches.



What are the key challenges you are facing when working on an outcome-focused research for development project with a result-based management (including an adaptive management) approach?

**(Question 11)**

Recurrent challenges for a number of projects involve how best to identify and influence next-users; the time constraints; lack of progress and lags when engaging with (bureaucratic and changing) government actors; how to set compelling yet obtainable project outcomes; and getting partners involved and engaged in the activities. Other challenges include partners and CCAFS asking for deliverables under less-than-ideal circumstances and being ambiguous about expectations and deadlines.

- *"Time management. Partners can ask impossible things sometimes because it is a politically appropriate moment, etc. It takes time to learn about government partners."*
- *"The outcomes dictate on process, who, what and when. In partnering with national partners, the when is a big challenge as processes are quite slow, there is bureaucracy. Sometimes we have had to start all over again to allow buy in and this makes us lag behind planned activities"*
- *"The real challenge is not the adaptive management of the project itself, but the continuous new, ambiguous and confusing indications from CCAFS regarding planning, deadlines, budget, bilateral, etc. Concise, timely and consistent information for from CCAFS would make our work much easier."*
- *"Identification of potential next users"*
- *"Key challenge is change in government teams which we build and also government priorities"*
- *"Lack of experience in setting realistic yet compelling outcome target (numbers), and difficulty to identify collegially acceptable progress indicators towards these targets"*
- *"Need to delegate progress monitoring towards outcomes to partners who themselves are generally not trained to do that"*
- *"Some concern about our own capacity to monitor correct delivery of large sub-agreement work plans by partners in a context of scarce human resources"*
- *"The main challenge is how to get the partners effectively involved in the process"*

- *“The correct data/ information for the modeling; Influencing/convincing policy makers/ stakeholders on the results of the project; Availability of local government staff for the modeling training”*

Do you have enough support to undertake outcome-focused research for development with a result-based management approach? If no, what support is needed? If yes, anything to share?

**(Question 12)**

Although a minority of the projects reported having enough support, many projects want and need more capacity training, especially on how to engage with next-users. Many felt feedback from CCAFS was sufficient, but additional feedback from others, through a community of practice, would be useful.

- *“We need training. We are attempting many things without knowledge of what information would be more or less valuable. We are only throwing ourselves out there! Community of practice and Institutional incentives will also be important because institutional mandates also dictate on how far we can be innovative.”*
- *“My feeling is that there does not exist that much example of how outcome-focused research for development works and we are learning as we are going. Therefore being in the trial group certainly helps and one receives a lot of feedback from CCAFS but also the peers.”*
- *“We do have some support from the FP4 team, but additional support will be great. This could be in terms of trainings, community of practice.”*

Additionally, there were some very useful comments for the Flagship 4 RBM trial team to consider:

- *Daily podcast topical trainings to promote good OFR/RBM practice (similar to a 5-minute video 'tip of the day'), to acquire knowledge without significant disruption in daily work flow - 'training videos for dumb scientists' (access agriculture.com produces training videos for farmers, why not training videos for scientists?)*
- *Interactive RBM monitoring portal hosted on a CCAFS site to have a dashboard view of our unfolding activities with bells & whistles functionalities*
- *Annual cross-FP4 meeting to share experiences*
- *Additional funding for private sector training services in transformative scenario planning (e.g. REOS Partners) to develop local capacity in scenario visioning*

Lessons learned: What didn't work and how did you deal with that?

**(Question 13)**

Key lessons learned from the projects vary across the board, but good internal communication, exchanges with peers and taking time to invest in personal relationships with next users have all added to the progress and success of the projects so far. In response to this particular question, many brought up the issue that better training on RBM, together with example sheets and templates, would greatly support the projects.

## Other suggestions to improve the process (Question 14)

### P&R, budget and planning

- *P&R needs to become less detailed. Takes a lot of time and is very complicated*
- *More clarity in the availability of bonus funds for 2015 is required to allow proper planning.*
- *Make room for the project staff to review the planning very often to adjust to changing context*

### Research for Development: The challenges

- *Develop the capacity to do research under these arrangements. Since much of the projects are development work, how do we get publications from work such as social learning and detailed documentation? In the search for outcome and impact, please do not dump the science with the bath water.*
- *The biggest challenge is combining development and research, a lot of time is spent on non-publishable work yet we are evaluated by papers -what do we do?*
- *Research takes time, yet reporting needs demand have a 'fixed' time frame. How do we balance the two?*
- *It would be good to think about a more focused, selective approach devoted to fewer countries with a larger team across centres, rather than spreading our eggs over so many baskets. This would involve a higher risk for each individual project but can ensure better follow-up and be more interesting for a Ministry type organization.*

## Conclusions

It was a great learning experience to have an RBM trial with the six projects and to be allowed to test and try out what is required to make the shift from a logframe approach to an approach that is much more people-, learning- and outcome-focused, revolving around result-based management, impact pathways, and theory of change. The survey results show that there are people within CGIAR Centers and CCAFS partners who are willing to take on the challenge to develop new ways of collaborating and working beyond delivering outputs towards outcomes.

From the survey, FP4 concludes that the projects have made considerable progress, but also that making fundamental shifts in the way of working takes time and (initially at least) additional resources. It requires iterative and continuous processes. Staffing, or the profile of project team members, and project team composition are emerging as key factors for success. Project staff has acknowledged that they may require additional skills beyond disciplinary expertise, such as skills in coordination, facilitation, engagement, communications, and participatory and learning-oriented monitoring and evaluation. The Flagship 4 team will use the findings from this survey to explore how additional support can be provided in such areas as engaging with stakeholders and using results-based management.



## **Annex 1. Flagship 4 Results-Based Management Trial Projects**

### **East Africa led by IITA**

#### *Influencing and linking policies and institutions from national to local level for the development and adoption of climate-resilient food systems*

The project seeks to influence and link policies and institutions from national to local level for the development and adoption of climate resilient food systems in Uganda and Tanzania through the integration of the scientific community with policy actors. Major project activities will include analysing policy processes, actors and their linkages, trade-off analysis, scenario development, creating evidence-based gender awareness, applied information economics and implementation of policy engagement actions. Key project outcomes include: (1) There is increased seeking behaviour from policy makers, implementers and researchers; (2) Policy makers and implementers recognize policy gaps and conflicts and seek to address them; (3) Policy makers and implementers have identified policy actions for improved climate change adaptation; (4) Better-informed decisions for climate change adaptation by policy makers/implementers; (5) There is increased appreciation, among policy actors, to include gender in climate change related policies. The project aims to use inter-disciplinary science-based recommendations to influence policy implementation that encourages climate-smart agricultural practices across multiple scales.

### **West Africa led by ICRISAT**

#### *Capacitating science-policy exchange platforms to mainstream climate change into national agricultural and food security policy plans*

Through its regional scenario process and the set-up of national science-policy exchange platforms, CCAFS-WA has engaged with regional and national structures in charge of planning agricultural development and food security. The CCAFS national science-policy exchange platforms will form the backbone for a top-down and bottom-up mainstreaming of climate change into national development frameworks by (1) catalysing multi-scale, participatory identification of priorities and knowledge gaps using appropriate tools and inclusive approaches to define priority investments; and (2), learning from multi and transdisciplinary action research in selected districts of three pilot countries. The existing national platforms will be involved in the capacity building process by providing technical, scientific and political supports to local communities. This systemic framework for integrated climate impact assessments and adaptation planning will produce site-specific contextual insights and scalable evidences to guide national and sub-national policy designs and decision-making processes.

### **South Asia led by IFPRI**

#### *Scaling up climate smart agriculture through policies and institutions: Linking it with national agenda of food security*

The proposal intends to up-scale the concept of 'climate smart villages' through improved policies and innovative institutions leading to mega-programs at national and sub-national levels. It will first develop decision support tools to prioritize climate smart investment options, and then evaluate alternative policies and institutions, assess their trade-offs to meet the multiple goals, and evolve policies, programs and institutions for their implementation and up-scaling. The project will also develop capacity of key stakeholders for effectively implementing the outputs of the proposed research. Initially it will work in three South Asian countries, namely Bangladesh, India and Nepal at national and sub-national levels, with national research systems, government departments, development organizations and CGIAR centres by engaging key stakeholders, including poor and women farmers. The outputs of the project are expected to increase investment by 50% in 2017 of the base year of 2013. The outputs of the program are expected to cover more than 10 million

farmers in South Asian countries and enhance the income of poor and women farmers by 20% by 2017.

### **Southeast Asia led by IFPRI**

#### *Addressing the Impacts of Climate Change in the Philippine Agriculture Sector*

The project works with the National Economic and Development Authority (NEDA) of the Philippines to establish a decision-support mechanism on agricultural, climate change and food security policies that uses newly generated data, modelling output and innovative scenario assessment. At the end of the project, NEDA will have increased its capacity to analyse the strengths and weaknesses of policies and explore the resilience and the provisioning capacity of the agricultural sector given future climate scenarios.

The Philippines is an archipelagic country where agriculture plays a vital role in providing over 30 percent of employment and more than 10 percent of the country's total GDP in 2012. Recent natural disasters that significantly affected crops and livestock resulted in severe loss of agricultural production including human lives. Climate change worsens the economic situation and food security among others of the Philippine people. Hence, there is a critical and urgent need to make climate-smart technologies available and accessible to the farmers through the creation of an enabling institutional environment.

NEDA is responsible for advising the Philippine President on national development planning, including recommending the level of the annual government expenditure as stipulated in the 2011-2016 Philippine Development Plan (PDP) and Public Investment Program (PIP). In NEDA, the Agriculture, Natural Resources and Environment Staff (ANRES) provides technical support in coordinating the formulation of national plans and policies for agriculture, natural resources and agrarian reform sectors. NEDA-ANRES has expressed strong interest to develop and apply new methods to evaluate current policies and formulate future policies, particularly for the agriculture sector.

This collaborative partnership between IFPRI and NEDA-ANRES aims to establish a decision-support mechanism on agricultural, climate change and food security policies that uses newly generated data, modelling output and innovative scenario assessment. It is designed to integrate an innovative set of data, models and scenarios in the areas of climate change, agriculture and food security in NEDA's development process (e.g., planning, project evaluation, and investment programming). In the completion of this research project, it is expected that NEDA technical staffs are capacitated to analyse the strengths and weaknesses of policies and explore the resilience and the provisioning capacity of the agricultural sector given future climate scenarios.

### **Southeast Asia led by IRRI**

#### *Policy Information and Response Platform on Climate Change and Rice in ASEAN and its Member Countries (PIRCCA)*

The project aims to bridge the gap between science and policy and to establish informal and operational linkages with relevant stakeholders. It has the overarching goal of enabling policymakers in ASEAN member states, namely in the two target countries, Vietnam and Myanmar, using a multidisciplinary approach, to make informed decisions on: 1) food security policies that focuses on the supply and availability of rice through improved capacity to forecast rice shortages and, thus, more effective response to climate-induced food shocks; 2) climate change adaptation policies that provide institutions, decision-makers, and scientists access to data that will facilitate identification and mapping of vulnerable geographic areas and population groups, as well as suitable climate-smart technologies; and 3), gender action plans that evaluate the potential of policies, practices, and technologies in overcoming gender disparities and social differentiation.

Products of the project shall include data, models and scenarios that illustrate and aid understanding of the impact of climate change on agriculture; decision-support tools for policy development and making investment choices for climate-resilient agriculture at the national and global levels; analysis of current and emerging policies, along with pilot policy interventions case studies conducted with national partners, with special focus on social differentiation and gender issues; and analysis and experimentation concerning novel decision-making processes.

### **Latin America led by CIAT**

#### *Relevant Climate Change Information meets Decision-Making to influence Policy and Institutions for Climate Resilient Food Systems*

Latin America is at a critical point in time where many governments and well-organized sectors are developing their mitigation and adaptation strategies. CCAFS supports these processes through the excellent partnerships and on-going climate change research across Latin America, specifically in Guatemala, Nicaragua, Costa Rica, Colombia, Peru and the Central America region through the Central American Agricultural Council (CAC). The project works together closely with ministries and research centres to make sure that the latest climate science is being used for NAMAs and NAPs. Furthermore the project is supporting and training COP country negotiators to ensure that an agreement on climate and forestry is being reached, that gender is being considered in NAMAs and NAPs, and that negotiators are well prepared to represent their countries.

## Annex 2. Survey Questions

*Question 1:* Name

*Question 2:* E-Mail

*Question 3:* What's your role in the project?

*Question 4:* What do you feel you achieved over the past 10 months in your project (brief summary, bullet point headlines are fine):

*Question 5:* How do you consider your own progress in terms of planning towards outcomes and then actually moving towards outcomes? On a scale of five: very bad – bad - not so good - good - very good - excellent

*Question 6:* Considering the requirement for outcomes - what are you doing differently from what you would have done with a more output focused project? In your response please consider components like:

- Staff you have hired to support this
- Types of partners that you have reached out to collaborate with?
- Communications and engagement
- Monitoring and evaluating plans and practices
- Activities and outputs
- Any other, please list and elaborate

*Question 7:* If you have anything to add to Question 6, on doing things differently, please use the below box:

*Question 8:* Since its initial planning, has anything changed in the course of the implementation of your project? Yes=1 and No=0

*Question 9:* If yes, how? Please describe briefly the main changes? And if no, why do you think that is?

*Question 10:* Please rate how well your project team is responding to the following:

- (Unexpected) opportunities
- (Unexpected) challenges
- Self-reflection
- Working towards ensuring outputs are being used and contributing to outcomes
- Working with an impact pathway approach

*Question 11:* What are the key challenges you are facing when working on an outcome-focused research for development project with a result-based management (incl. adaptive management) approach?

*Question 12:* Do you have enough support to undertake outcome-focused research for development with a result-based management approach appropriately? If yes, anything you would like to share? If no, what type of support would you need?

*Question 13:* Any lessons that you would want to share with us in terms of process, content, research for development, RBM as you have experienced it within this trial (although collectively we've still not been through a complete planning/reporting cycle), i.e. the planning along impact pathways and with strong focus on outcomes (please note we have not done the reporting and evaluation part of it). What worked? And what did not work and how did you deal with things that did not work?

*Question 14:* Please let us know what other improvement suggestions you have.

## Annex 3. Detailed Responses

**Question 4: What do you feel you achieved over the past 10 months in your project (brief summary, bullet point headlines are fine):**

- *Conduct a policy review, facilitate the setting of platforms at the districts level (3 in each of the three countries)*
- *national ccafs platform functional - assessment of climate change policy and institutional context: the case of Ghana - baseline policy study document validated by 10 member national platform core team and gaps identified - Over 70 stakeholders per district identified, consulted and mobilised for district level platform establishment in three districts (Lawra, Jirapa and Nandom) - collaboration+ with IUCN for M & E*
- *initial engagement and planning meeting held - dedicate human resources recruited (1 scientist, 1 administrative assistant) - national platforms held kickoff workshops in each of 3 target countries - 3 consultants were hired, 1 by each national platform to undertake policy review (sub-activity 1.1) - M&E focal points were nominated and tasked by national platforms in coordination with IUCN - regional M&E system concept was developed in collaboration with IUCN, MSU - district-level platform hosts were identified in each country, and target constituencies confirmed - solid buy-was secured in from national platforms - reached improved level of mutual understanding with ICRISAT management regarding importance of investing in national partners for this type of budget - signed annual contracts with national platforms at unprecedented funding levels (80K annual) - achieved good articulation of FP4 project with two bilaterals: ASSAR (IDRC-CARIAA) and IBSS (NSF through Michigan State University) - identified post-doctoral fellow through ASSAR project with recruitment in progress*
- *Better developed impact pathways - More clarity how to reach the stakeholders - Develop partnership*
- *These are the accomplishment in Vietnam and Myanmar: - Review existing climate change policies on agriculture, national priorities of climate change adaptation, and knowledge gaps at the national level from previous studies - Develop the climate change policy formulation mechanism - Conduct surveys among stakeholders and identify relevant case studies - Data collection and analysis to generate information package for climate change adaptation in rice sector relevant to decision makers across scales (local to national level) -*
- *a) Revised the proposal to address the comments from CCAFS and submit using the excel form  
b) Participated in the CCAFS Workshop, IFPRI, Washington DC, January  
c) Established partnership and clarity of roles, activities, implementations strategies, timelines and deliverables with the National Economic and Development Authority (NEDA) as the main partner of the project as well as with the academic partners (University of the Philippines Diliman [UPD]; UP Los Banos [UPLB]; De La Salle University [DLSU]) and the ICRAF-Philippines  
d) Prepared the Agenda, powerpoint presentations and coordinated the implementation of the Project Inception Workshop in Manila, Philippines, January  
e) Reviewed and refined the Project Inception Workshop Report submitted by NEDA and posted in Wiki  
f) Reviewed and provided technical comments on the first draft chapters of the book (The Future of Philippine Agriculture: Scenarios, Policies, and Investments under Climate Change) submitted by authors  
g) Prepared the Agenda and coordinating the implementation of the Project Writeshop in Tagaytay, Philippines, November 2014  
h) Participated in the CCAFS-SEA Regional Workshop, Bangkok, Thailand, October 2014  
i) Regular submission of monthly activities requested by CCAFS  
j) Maintained regular interactions via email with NEDA, UPD, UPLB, DLSU and ICRAF*
- *Better relationship with Ministry of Agriculture of Guatemala, better understanding of internal dynamics A simulation exercise that has led to changes in practice in the Ministry*

- *\*Established close contacts with Vice-Ministry of Policies in the Ministry of Agriculture as well as with the Ministry of the Environment*  
*\*Started supporting the Climate Change Agriculture Cross-cutting theme in the new Peruvian National Innovation Program*  
*\*Help MINAGRI select negotiators for COP20 and send them to the training workshop in Panama*  
*\* Initiated field work in the Central Highland of Peru*  
*\*Presented several talks in different fora to raise awareness on the impact of LUC on soil C stocks and CC*
- *- Fleshed out planning of project*  
*- Establishment of network crucial for project success*  
*- Design and first steps towards achieving of outcome and gender goals.*  
*- Trust among core group but also among wider partner network*
- *We have established a learning alliance and collaboration with key stakeholders and partners. Our team is specifically working on the national gender-policy analysis and have conducted interviews with policy makers in Uganda for the report. Our team has also conducted workshops to develop participatory lists of locally appropriate CSA practice at the benchmark sites. We have also conducted rapid rural appraisals, now called Climate Smart Agriculture Rapid Appraisal, within the project area, which extends beyond the benchmark sites. Finally, we have selected practices to conduct the trade-off analysis and supported the training four CG scientists on trade-off analysis techniques. We have also hired a MS-level gender specialist and identified staff within the Tanzania Ministry Climate Change Unit to work within our project.*
- *- We have been able to identify, interest and engage with national partners, key offices (and focal persons) that partner on project implementation, both in Uganda and Tanzania*  
*- We have formerly launched the project and popularized it among stakeholders*  
*- We have identified and discussed with individuals representing institutions (multi-stakeholder) to sit on the learning alliance (national platform) and in November we are formerly launching the learning platforms in Uganda and Tanzania*  
*- We have developed the result based management strategy and an M&E framework that will be used to support the documentation process*  
*- We developed and refined the project impact pathway*  
*- We have a draft communication strategy in place, that guides communication at different levels and with different partners and some communication tools to use e.g. project brochure and logo, monthly Skype calls and regular email exchanges*  
*- We have preliminary findings from a number of research activities (participatory identification of key policy actors, CSA practices, policy and gender gaps, which further analysis will concretize*  
*- Our project has been called to sit on forums e.g. COP 20 Preparatory meetings for the adaptation thematic group - this implies visibility -*
- *- inception workshop and inception report completed*  
*- draft reports of a number of component chapters being reviewed*  
*- data to support modeling is in progress*  
*- meeting/dialogue with some stakeholders to introduce projects done*
- *- finalized a first draft for the CCAFS RBM M&E strategy - currently approved for the trial*  
*- started a wiki space for documentation and sharing*  
*- started building the operational support pack for the projects with a series of tools*  
*- had two skype rounds with the trial project group*  
*- started to adapt the P&R system to allow for the shift from logframe to impact pathways / RBM planning (and ultimately reporting, which will come next year)*

**Question 5: How do you consider your own progress in terms of planning towards outcomes and then actually moving towards outcomes? On a scale of six**

Excellent:	3	not so good -	0
Very Good:	5	bad	0
Good:	5	very bad	0

**Question 6: Considering the requirement for outcomes - what are you doing differently from what you would have done with a more output focused project? In your response please consider components like:**

**- Staff you have hired to support this**

- *Focus on more strategic recruitment at a more senior level, with intent to develop further capacity in the region post-2017*
- *The position has been advertised and the candidate are to be shortlisted for interviews*
- *The staff we have hired have excellent expertise on the activities to be implemented.*
- *I have hired one staff based on network and relationships rather than scientific capacity. This has been OK overall, but requires much more supervision to keep things on track on the scientific side.*
- *Different profile with more communication skills*
- *We have hired several joint positions with partner organizations, which are crucial to achieve the outcomes*
- *We are contracting staff that will work with and report to both the Ministries and CGIAR.*
- *We have hired staff that look more at processes as opposed to specific research outputs*
- *project staff are appropriate people/knowledgeable*

**- Types of partners that you have reached out to collaborate with?**

- *A collaborative project, where all the decisions are discussed with the partners to have their engagement*
- *capacitate to collect quantitative and qualitative data beyond activities and outputs*
- *focus on more strategically positioned partners - national CCAFS science-policy platforms to more effectively build project activities at interfaces that have leverage towards scale*
- *We have reached all the partners and key stakeholders*
- *Partners are fully aware of the outcomes and fully participate in reaching them. Partners are the coordinators of activities in countries. Co-learning is ensured along the knowledge generation*
- *We have been engaged much more with the Ministry of Agriculture and other government actors. Working more with policy making and community leaders but with very high transaction costs due to fast turnover rates*
- *We are transferring significant funds to government entities, which are crucial to move projects towards outcome. Otherwise we would have invested more in actual research rather than networking and relationship building.*
- *NGOs, Ministries, CG centres,*
- *We are collaborating with non-science partners that can help with influence policy decisions, advocacy, media publicity*
- *the same agencies from where we got data/information*

**- Communications and engagement**

- *We are not making a full use of the wikispace to share with all the project team, but within the WA team, there is a good communication*
- *descriptive storylines. views of end users*
- *higher level of devolution of communication and engagement mechanisms towards the*
- *We have had to be very careful with communications. Comms is not about blog posts, but about one-to-one highly political exchanges. This is not always nice work.*
- *Changes in the communication strategy and spending more time in meetings and conferences*

*national platforms*

- *Organizing several policy advocacy activities*
- *An effective communication strategy has been established between project team members and partners. In-country partners are responsible for identifying engagement strategies for policy influence*
- *we built a wiki space for documenting and sharing progress and lesson*
- *We have started to help partners communicate their results and achievements which will overall help achieving the outcomes.*
- *Through participatory workshops.*
- *We put effort in developing communication tools that can speak to various partners, and strategies to engage various target groups*
- *going well so far*

#### **- Monitoring and evaluating plans and practices**

- *We work together with our partner to set a M&E plan to follow the different activities planned and reflect on them*
- *implement M&E learning*
- *involvement of specialized institution (IUCN) with regional mandate and expertise with M&E*
- *Well developed in support of CCAFS*
- *The project team has developed an internal M&E strategy. The result-based management allows us to have a better grasp on activities and also to ensure deliverables reach next users. Having an M&E strategy, along with clearly defined activities, partners and next users allow project team members and partners to run the project more effectively.*
- *Monitoring is more formal as part of M&E which used to be ad hoc including assessment of ongoing project activities*
- *We don't have this fully under control yet. It is often difficult to get full information in a weak institutional environment*
- *Differs since M&E for outcomes demands for other indicators and tools*
- *We have set up a supply chain of possible outcomes and we are tracking progress towards these outcomes with a joint google doc. After each meeting or important encounter advances towards outcomes are being recorded.*
- *We have developed a detailed M&E strategy and tools that track progress including processes and changes in knowledge, attitudes, skills and practices*
- *going well so far*
- *we try to have periodic up-dates, sharing and reflection meetings*

#### **- Activities and outputs**

- *They are realistic, within the time frame*
- *ensure these contribute to outcome statement*
- *development of multi-scale (national, local) capacity for scenario visioning, which clearly develops decentralized and articulated resource for long-term adaptation*
- *Better listed after 2 workshops organised by CCAFS*
- *Under the result-based management system, activities are clearly defined as well as outputs and deliverables. This allows a better coordination among project team*
- *This approach costs much more time in terms of time-critical activities. "It has been a ride."*
- *Very different*
- *We aim to have joint activities and outputs with our next or even end users to make sure they agree with methods and approaches and will likely agree with final results or research outputs.*
- *We have clearly spelled out sub-activities under each broader activity and outputs tagged to activities and time frames*
- *it would be the same activities and outputs*



members and partners

- more engagement activities than research activities

- Any other, please list and elaborate

- Enjoying working in this project as expecting high impact
- Higher transaction costs
- We have to start looking much deeper into power relations, information flows and dynamics that help policies to materialize or not. We have therefore also now a senior policy expert on the tea.

**Question 7: If you have anything to add to Question 6, on doing things differently, please use the below box:**

- It is directly reaching to policy makers and starting from them and seeking their requirement and priorities
- Should focus on future decision makers and community leaders to help create a culture such that changes in leadership would not change drastically and to follow country/region/communal priorities
- We are adopting a flexible style for the policy engagement activity that is iterative and allows us to try "stuff" and evaluate and make adjustments in the implementation. We are not afraid to try something new!

**Question 8: Since its initial planning, has anything changed in the course of the implementation of your project?**

YES: 6 NO: 7 Total: 13

**Question 9: If yes, how? Please describe briefly the main changes?**

- Fourth activity for 2014 (1.4 Elicitation of local demand for climate-smart policy instruments through the training of multi-stakeholder platform members in scenario visioning, outcome mapping, and the district-level production of representative agricultural pathways and CSA portfolios) postponed to first quarter 2015 due to late start of project, late signing of contracts.
- Impact pathways and to some extent the workplan
- Chronogram changed due to changes in the vice-ministry and we needed to start afresh. We just had to change the field area since, in spite of the communal interest the president decided that they do not want to participate (and several authorities indicate the the president has vested interests)
- There were no radical changes but all the additional approved FP in the region that CIAT or Bioversity lead will increase likelihood to achieve outcomes and eventually achieve even more outcomes that however also may be shared with other FP.
- Our original plan was to have research products that feed into the learning alliance. Research results take time to generate yet we should have a functional learning alliance by end of 2014. The learning alliance cannot be functional unless they have something to do. We decided to pool available research evidence, develop learning alliance actions around what is available and later feed in the evidence that will be created by the project. This way we will be able to have active platforms by end of 2014.

**And if no, why do you think that is?**

- *Too early to observe policy shift in process and product, as well as attitude and behaviour change.*
- *On the 10th month of the project, it is being implemented according to the agreed plan and activities*

**Question 10: Please rate how well your project team is responding to the following:**

	Total	Not good at all	not good	Fairly ok	Good	Very well
• <b>(Unexpected) opportunities</b>	13	0	0	0	4	9
• <b>(Unexpected) challenges</b>	13	0	0	1	5	7
• <b>Self-reflection</b>	13	0	0	2	4	7
• <b>Working towards ensuring outputs are being used and contributing to outcomes</b>	13	0	0	0	7	6
• <b>Working with an impact pathway approach</b>	13	0	0	2	6	5

**Question 11: What are the key challenges you are facing when working on an outcome-focused research for development project with a result-based management (incl. adaptive management) approach?**

- *How to get the partners effectively involved in the process*
- *Targeting and Influencing boundary partners and interest groups. Dynamic and disabling environment, time limitations*
- *- lack of experience in setting realistic yet compelling outcome target (numbers), and difficulty to identify collegially acceptable progress indicators towards these targets*  
*- need to delegate progress monitoring towards outcomes to partners who themselves are generally not trained to do that*  
*- some concern about our own capacity to monitor correct delivery of large sub-agreement work plans by partners in a context of scarce human resources*
- *Key challenge is change in government teams which we build and also government priorities*
- *- identification of potential next users*  
*- how to ensure deliverables will reach next users*  
*- making sure that the outcome will be reached*  
*- understanding the RBM*
- *IFPRI needs strong presence in the region/communities particularly as we implement the project activities that deal with policies and capacity strengthening of national, regional, provincial and local officials to understand the importance of investments and supporting policies on climate-smart agriculture adaptation technologies; and ensure that these are incorporated in their national, regional and provincial development plans.*

- *Time management. Partners can ask impossible things sometimes because it is a politically appropriate moment, etc. It takes time to learn about government partners.*
- *Slow progress and high transaction costs due to changes in key partner institutions such as ministries and communities*
- *The real challenge is not the adaptive management of the project itself, but the continuous new, ambiguous and confusing indications from CCAFS regarding planning, deadlines, budget, bilateral, etc. Concise, timely and consistent information for from CCAFS would make our work much easier.*
- *The outcomes dictate on process, who, what and when. In partnering with national partners, the when is a big challenge as processes are quite slow, There is bureaucracy. Sometimes we have had to start all over again to allow buy in and this makes us lag behind planned activities.*
- - *The correct data/information for the modeling.*  
 - *Influencing/convincing policy makers/stakeholders on the results of the project*  
 - *Availability of local government staff for the modeling training*
- *People are reluctant to be held responsible for the intangible, fluffy stuff*

**Question 12: Do you have enough support to undertake outcome-focused research for development with a result-based management approach appropriately?**

**If yes, anything you would like to share? 2**  
**If no, what type of support would you need? 11**

- *Not all support at place, now! We need training to better engage the key stakeholders*
- *No. Capacity, materials, training and peer assist*
- *Daily podcast topical trainings to promote good OFR/RBM practice (similar to a 5-minute video 'tip of the day'), to acquire knowledge without significant disruption in daily work flow - 'training videos for dumb scientists' (access agriculture.com produces training videos for farmers, why not training videos for scientists?) - interactive RBM monitoring portal hosted on a CCAFS site to have a dashboard view of our unfolding activities with bells & whistles functionalities - annual cross-FP4 meeting to share experiences - additional funding for private sector training services in transformative scenario planning (e.g. REOS Partners) to develop local capacity in scenario visioning*
- *More policy advocacy and sensitization of policy makers*
- *We do have some support from the FP4 team, in particular Wiebke, Tonya, and Christine, but additional support will be great. This could be in terms of trainings, community of practice.*
- *No. Funding is needed to compensate my time working for the project and travel to monitor the progress of the activities of the partners at all levels.*
- *We need much more critical mass in our team to be able to deal with sudden requests. It would be useful to learn from NGO advocacy practices (Oxfam perhaps). The institutional incentive mechanism would be quite appropriate for our partners -- perhaps we can think*
- *My feeling is that there does not exist that much example of how outcome-focused research for development works and we are learning as we are going. Therefore, being in the trial group certainly helps and one receives a lot of feedback from CCAFS but also the peers.*
- *Yes, I think so.*

*about an award to motivate them a bit...*

- *This has been a learning process for everyone. Thus slower than anticipated. CIP is not prepared to facilitate the work with policy-making and we had to use personal contacts.*
- *We need training, we are attempting many things without knowledge of what information would be more or less valuable. We are only throwing ourselves there! Community of practice and Institutional incentives will also be important because institutional mandates also dictate on how far we can be innovative*
- *Adequate capacity trainings*
- *The teams need more backstopping to help them learn along the process.*

**Question 13: Any lessons that you would want to share with us in terms of process, content, research for development, RBM as you have experienced it within this trial (although collectively we've still not been through a complete planning/reporting cycle), i.e. the planning along impact pathways and with strong focus on outcomes (please note we have not done the reporting and evaluation part of it). What worked? And what did not work and how did you deal with things that did not work?**

- *Too early*
- *Awareness has been created on RBM, Reliance on appropriate M&E, Revising original proposal to conform for capturing relevant evidence and indicators and users*
- *still too early to judge - however impression is that OutcomeFocusedRresearch seems to generate genuine interest from stakeholders as they can more clearly relate their upcoming work to potentially larger impacts. This is particularly more relevant from a policy design perspective, and coming from partners which historically have little (national platforms) or no (district-level platforms) influence over policy.*
- *A very well team work to achieve common goal*
- *I personally think the RBM is a great project management tool, but it is new to most of us. As such, we need time to learn more about it. A series of training on the RBM will be very helpful.*
- *If examples have been provided prior to filling-out forms and expectations from CCAFS that would be very helpful.*
- *It is important to invest in personal relationships with civil servants.*
- *Focus on policy making might have its pros but we must do in the short-term a cost/benefit analysis in the pathway to impact.*
- *As mentioned above exchange with peers was very useful and could have been done more frequently.*
- *I think good communication is a key ingredient for success. Specifically, good communication between team members, between and with partners and stakeholders. I think Edidah has done an*

*excellent job communication with all involved and this has created a feeling of belonging and helps motivate the entire team.*

- *-Processes keep changing and we need to be keen to document, but wants makes sense or else it will be all garbage in*
  - *Research takes time, yet reporting needs demand have a 'fixed' time frame. How do we balance the two? Innovativeness is also driven by resource availability to some extent*
  - *The biggest challenge is combining development and research, a lot of time is spent on non-publishable work yet we are evaluated by papers -what do we do?*
- *- be patient, and do not frustrate easy*
  - *outcomes / changes in behavior take time or extra ordinary circumstances*
  - *the regional workshop series - we thought we would develop a model, but it turned out that they are all very individual (mostly probably because of personalities of the leaders and portfolio composition and dimensions) - the large number of people are also correlated to the budget that was given to the regions for this 40K, to bring a group of 30-35 people regionally together 25-30K would have been enough - looking at group composition of people in the room, regional - international and intrinsic drivers ...*

**Question 14: Please let us know what other improvement suggestions you have.**

- *Make room for the project staff to review the planning very often to adjust to changing context*
- *more clarity in the availability of bonus funds for 2015 is required to allow proper planning. we included these in our 2015-2016 budgets in the P&R but it seems that is not regular procedure*
- *Less of filling various forms. For example P&R system is very complicated so was the initial project document in xl file.*
- *It would be good to think about a more focused, selective approach devoted to fewer countries with a larger team across centres, rather than spreading our eggs over so many baskets. This would involve a higher risk for each individual project but can ensure better follow-up and be more interesting for a Ministry type organization.*
- *In the search for outcome and impact please do not dump the science with the bath water*
- *There is need to develop capacity to do research under such arrangement - a lot of this is development work - how do we get publications from work such as social learning and detailed documentation?*
- *P&R is too nitty, gritty for the project which is I think straight forward.*